

jc720 U.S. PTO
12/29/00

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Approved by the Office of Management and Budget through 10/31/2002. OMB 0651-0032.
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE01/02/01 A
12/29/00
12/29/00

UTILITY PATENT APPLICATION TRANSMITTAL		<i>01/02/01</i>
(Only for new nonprovisional applications under 37 CFR 1.53(b))		
APPLICATION ELEMENTS		Attorney Docket No.
See MPEP chapter 600 concerning utility patent application contents.		<i>Yale Zhang</i>
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i>		Title
2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.		SWITCHABLE OPTICAL ADD/DROP DEVICE AND METHOD USING THE SAME
3. <input checked="" type="checkbox"/> Specification [Total Pages <u>13</u>] <i>(preferred arrangement set forth below)</i>		Express Mail Label No.
<ul style="list-style-type: none"> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 		<i>EI521229340US</i>
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) — [Total Sheets <u>2</u>]		
5. Oath or Declaration [Total Pages <u>2</u>]		
a. <input checked="" type="checkbox"/> Newly executed (original or copy) Copy from a prior application (37 CFR 1.63 (d)) <i>(for continuation/divisional with Box 17 completed)</i>		9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))
b. <input type="checkbox"/> i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).		10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of <i>(when there is an assignee)</i> <input type="checkbox"/> Attorney
		11. <input type="checkbox"/> English Translation Document (if applicable)
		12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations
		13. <input type="checkbox"/> Preliminary Amendment
		14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i>
		15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i>
		16. <input type="checkbox"/> Other:
6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76		

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP)

of prior application No.: _____ / _____

Prior application information: Examiner _____

Group / Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label		<input type="checkbox"/> Correspondence address below <i>(Insert Customer No. or Attach barcode label here)</i>		
Name	Peter C. Chang Alliance Fiber Optics Products, Inc.			
Address	735 North Pastoria Avenue			
City	Sunnyvale	State	CA	Zip Code 94086
Country	U.S.A.	Telephone	(408) 7366900	Fax
Name (Print/Type)	Yale Zhang		Registration No. (Attorney/Agent)	
Signature			Date 12/18/00	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT: (\$ 502.00)

Complete if Known

Application Number	
Filing Date	
First Named Inventor	Yale Zhang
Examiner Name	
Group Art Unit	
Attorney Docket No.	

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	
Deposit Account Name	

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

Check. Credit card. Money Order Other

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

SUBTOTAL (1) (\$ 355)

2. EXTRA CLAIM FEES

Total Claims	23	-20** =	3	x	9	=	27	Fee from below	Fee Paid
Independent Claims	5	- 3** =	2	x	40	=	80		
Multiple Dependent									

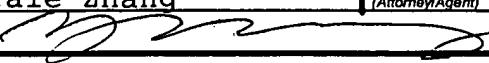
Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description		
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 107)

*or number previously paid, if greater; For Reissues, see above

Reduced by Basic Filing Fee Paid **SUBTOTAL (3) (\$ 40)**

SUBMITTED BY		Complete if applicable	
Name (Print/Type)	Yale Zhang	Registration No. (Attorney/Agent)	Telephone
Signature			
Date	12/18/00		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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